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ABSTRACT

A small group of Association of American Universities (AAU) institutions was surveyed by the graduate school at the University of Florida in 1987 as part of a review of its own policies on faculty members pursuing graduate degrees and appointment to the graduate faculty. This was intended to give the graduate council a basis for comparison with other universities. Of the 55 questionnaires mailed to the graduate school deans, 40 were returned (with 20 from state universities and 20 from private universities). The questionnaire asked whether a faculty member holding a tenure-accruing position could pursue a graduate degree in the same institution, and if yes, what restrictions applied. It also asked whether there were university criteria for appointment to the graduate faculty. Results indicate a great difference between state and private universities on the policy of allowing tenure-accruing faculty to pursue graduate degrees in the institution. Restrictions cited include avoiding all possible conflict of interests; approval by the employment unit chairperson and dean, graduate school dean, and vice president for academic affairs; and having a different degree-seeking department from the employment unit. The state and private institutions also differ greatly in terms of the appointment of graduate faculty, with 60% of the state universities having a graduate faculty appointment system and only 30% of the private institutions having one. Specific responses of each university are summarized. (SM)

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Results of Survey on Faculty Members Pursuing Graduate Degrees and Appointment of Graduate Faculty

In June, 1987 the graduate school at the University of Florida conducted a survey of a small group of institutions as part of a review of its own policies regarding faculty members at the University pursuing graduate degrees, and appointment to the graduate faculty. The results are presented here.

To give the graduate council a basis for comparison with other universities, the graduate school conducted a survey of Association of American Universities universities on these policies. The survey asked whether a faculty member holding a tenure-accruing position was allowed to pursue a graduate degree in the same institution. If the answer was yes, the respondent was also asked the type of restrictions which applied. The survey also asked whether the university had criteria for appointment to the graduate faculty. The questionnaire was mailed to graduate school deans of 55 AAU members.

A total of 40 universities returned questionnaires. Among these respondents, 20 were state universities and 20 were private universities—a response rate of 83 percent for public universities, 64 percent of private institutions, and 72 percent of all AAU members.

The results show a significant difference between state universities and private universities concerning the policy of allowing tenure-accruing faculty to pursue graduate degrees in the institution. While 65 percent of state universities allow a tenure-accruing faculty member to pursue a graduate degree with various restrictions, only 30 percent of private institutions reported having such a policy. Of the 13 state universities that allow a faculty member to pursue graduate degrees, every institution imposes some restrictions. Among the six private universities that have such a policy, two have no restrictions for a faculty member on a tenure-track appointment to earn a graduate degree.

The restrictions cited can be summarized as follows:

1) In most cases, only faculty members with the rank of assistant professor and lower who have not yet received tenure are allowed to pursue graduate degrees.
2) The degree-seeking department must be different from the employment unit.
3) All possible conflict of interests must be avoided.
4) To seek a graduate degree, the faculty member must be approved by the employment unit chairperson and dean, graduate school dean and/or Vice President for Academic Affairs, and such.
5) Approval is reported to be rare.

In terms of the appointment of graduate faculty, there are significant differences between state institutions and private universities. Sixty percent of the state universities (12) have a graduate faculty appointment system, compared to only 30 percent (six) of private institutions. In the majority of private universities, all faculty appointed with a rank of assistant professor or higher can serve as graduate faculty. In many private universities, the graduate school encompasses only arts and sciences. In most state universities, professional schools are also included under the graduate school.

The appointment system of the graduate faculty varied from university to university. While some universities appoint all graduate faculty at one level, others appoint at two or three different levels with different criteria and responsibilities. A summary of the criteria of each respondent university is listed on the table beginning on page 2.

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CGS GRADUATE DEANS SUMMER WORKSHOP JULY 10–15, 1988

A view of Portland, Oregon, site of the 21st annual CGS Graduate Deans Summer Workshop which will take place July 10–15, 1988 at the Red Lion Inn-Lloyd Center.

Registration materials for the Summer Workshop will be made available in April.

Photo courtesy of Greater Portland Convention and Visitors Association, Inc.

Policies Regarding Faculty Members Pursuing Graduate Degree

Institution	Control	I. Allow Faculty to Pursue Graduate Degrees	II. Graduate Faculty Appointment System
U. of Arizona	State	Yes, allows for instructors and lecturers (may or may not be tenure-track position). Rank of asst. professor and higher not allowed. All military science faculty may seek advanced degrees.	No
UC-Berkeley	State	No	No
UC-Los Angeles	State	No	No
UC-San Diego	State	No	No
U. of Colorado-Boulder	State	No	Yes, the graduate faculty must hold terminal degree in the field, must demonstrate scholarly publication record, or show continued activity in the field in other ways. Appointments must be approved by department chair and graduate school dean.
U. of Illinois–Urbana-Champaign	State	Yes, in a unit other than that of their appointment upon approval of the executive committee of the graduate school and of the executive officer of involved units.	Yes, faculty members who have actively engaged in graduate research and whose publication record, graduate teaching and other scholarly endeavors meet criteria will be appointed to graduate faculty.
Indiana U.	State	Yes, avoid conflict of interests, may pursue master's or doctorate.	Yes, *Full Status* or *Affiliate Status*—firmly established as a research or creative scholar, ability to guide research or creative work. *Assoc. Status*—have journal publications, books or creative works, ability to guide research or creative work.
Iowa State U.	State	Yes, rank of asst. professor or lower allowed to pursue graduate degree upon approval of dean of employee's college and dean of the graduate school.	Yes, *Full Member*—must have published peer-evaluated research and scholarly works, and directed graduate research. *Assoc. Member*—must have terminal degree in his/her field, evidence of desire and opportunity to continue to develop as a scholar, scholarly works and have potential to contribute to graduate education. *Temporary Member*—faculty not holding an academic rank but holding requirements for an Assoc. Member. The appointment period is five years.
U. of Kansas	State	Yes, in rare cases. Avoid conflict of interest, must be approved by the dean of graduate studies. Not allowed to serve on any campus committees, teach or serve on advisory committees in the college where degree is sought.	Yes, faculty members with rank of asst. professor and above in departments with graduate programs, who hold terminal degrees in their field, and who have demonstrated professional productivity through graduate teaching, scholarly publications, etc., may be members of the graduate faculty.
Michigan State U.	State	No	No
U. of Michigan	State	Yes, only if such enrollment is essential to the professional development of a faculty member. Must obtain graduate school and department approval. The degree-seeking department has to be different from employment unit.	No, all faculty members with regular appointment status (not visiting, not adjunct) can serve as graduate faculty.
U. of Minnesota	State	Yes, in rare cases. Graduate study should be in different field from employment unit. Avoid conflict of interest.	Yes—1. *Assoc. Member*—Qualified to direct master's research, evidence of comparable scholarship—at least one refereed publication. 2. *Full member*—Must have research publications, good evaluation in teaching, and record of participation in advising. 3. *Examining member*—Same criteria as (1) above.

nd Appointment of Graduate Faculty by Institution.

Institution	Control	I. Allow Faculty to Pursue Graduate Degrees	II. Graduate Faculty Appointment System
U. of Missouri	State	No	Yes—1. *Graduate Faculty*—Participates in graduate teaching and advisement. 2. *Doctoral Faculty*—Must have Ph.D. degree, refereed publications, ongoing research, participated in directing theses/dissertations.
U. of Nebraska	State	Yes, must avoid conflict of interest; must be approved by employment unit's dean and graduate council. Field of graduate study must be different from employment unit.	Yes—1. *Graduate Faculty Member*—asst. professor and above, hold terminal degree, actively involved in graduate student research/teaching, evidence of scholarly activity. 2. *Graduate Faculty Fellow*—meet all criteria for graduate faculty member, published research and scholarly/creative work beyond dissertation, demonstrate effective teaching at the graduate level.
Ohio State U.	State	Yes, only if such study would enhance professional competence. Field of study must be distinct from employment unit. Must be approved by employment department chair, dean, dean of graduate school in consultation with Council on Research and Graduate Stu lies and the Vice President for Academic Affairs.	Yes—1. *Category I.*—Must hold terminal degree in field, must have college teaching and/or professional experience. 2. *Category II.*—Must have terminal degree in field, evidence of scholarly/creative work, college teaching and/or professional experience. 3. *Category III.*—Must have Ph.D., evidence of scholarly research, or creative activities, graduate-level teaching or professional experience.
Pennsylvania State U.	State	No	Yes—1. *Assoc. Member*—Qualified to teach graduate level courses, must have refereed publications or evidence of potential publications, or creative achievement. 2. *Senior Member*—Experienced in teaching graduate courses and guiding graduate research or creative works. Have significant research or creative attainments.
Purdue U.	State	Yes, rarely, allowed to pursue graduate degrees only at college other than the appointment unit, with approval of graduate school dean. Can be master's or doctorate.	Yes, criteria: current involvement in research and/or scholarship.
U. of Texas-Austin	State	Yes, only non-tenured faculty (asst. professor not yet tenured) may pursue graduate degrees at the Austin campus. Requires the approval of the president and dean.	No
U. of Washington	State	No	Yes, faculty with rank of asst. professor or research asst. professor and above, qualified to chair a graduate supervisory committee, in unit authorized to grant graduate degrees. Criteria: continuous research-based scholarship, refereed publications, graduate teaching and research.
U. of Wisconsin	State	Yes. Ph.D. or master's; avoid conflict of interest. Approval of employment department and dean.	No
Brandeis U.	Private	No	No
Brown U.	Private	No	No
Case Western Reserve U.	Private	Yes, no restrictions; can pursue master's or doctorate.	No
The Catholic U. of America	Private	No	No

(continued on page 4)

Policies Regarding Faculty Members Pursuing Graduate Degrees and Appointment of Graduate Faculty by Institution (continued).

Institution	Control	I. Allow Faculty to Pursue Graduate Degrees	II. Graduate Faculty Appointment System
Columbia U.	Private	No	Yes, faculty member demonstrating scholarship and research productivity, teaching excellence, and administrative ability is qualified to be appointed as graduate faculty.
Cornell U.	Private	No	Yes, must have a professional appointment, a terminal degree in the field, and at least one paper published in a refereed journal, and spend at least 25% of their time on graduate level teaching or research.
Harvard U.	Private	No, almost all faculty members hold a Ph.D.	No, all faculty members holding professorial rank are entitled to supervise graduate students.
The Johns Hopkins U.	Private	Yes, no restrictions	No
McGill U.	Provincial	Yes, must obtain approval from graduate faculty executive. The enrolled department must be different from teaching department. Avoid conflict of interest.	No
Massachusetts Institute of Technology	Private	No such policy; all faculty already have doctorates.	No
Northwestern U.	Private	No	Yes, graduate faculty must have evidence of ability to conduct productive research, hold rank of asst. professor or above, and give instruction for graduate students.
U. of Pennsylvania	Private	No policy; almost all faculty have doctorates.	No
Princeton U.	Private	No	No
Rice U.	Private	Yes, restrictions would be worked out case by case. Currently no faculty engaged in graduate study.	No, all tenured or tenure track faculty members serve as graduate faculty.
U. of Rochester	Private	No	No
U. of Southern California	Private	Yes, approved in rare circumstances, mostly for faculty from fields where advanced degrees are not traditionally required. Degree-seeking department must be different from faculty member's home department; avoid conflict of interests.	No, all tenure track faculty are part of the graduate faculty.
Tulane U.	Private	Yes, in rare cases. Faculty must continue to discharge their regular full-time duties.	Yes, must have been a faculty member of the department for at least a year, must participate in graduate teaching and advising, must have evidence of excellent research.
Vanderbilt U.	Private	No policy; generally discouraged.	Yes, all tenured or tenure-track faculty holding appointment in departments which offer master's or doctorate can be graduate faculty. Other faculty members may be appointed to graduate faculty by dean of graduate school.
Washington U.	Private	No, except in rare cases.	No
Yale U.	Private	No	Yes, all faculty with ranks of assoc. professor and full professor in arts and sciences automatically become members; professional school faculty sometimes are made members through special review.